

# Behavioral Health is Essential To Health



Prevention Works



Treatment is Effective



People Recover



# Division of Grants Management

Drug Free Communities (DFC) Support Program  
SAMHSA's Center for Substance Abuse Prevention

**Erwin Morales, Grants Management Specialist**



# YR6 DFC Grantees

3

## *TOPICS OF PRESENTATION*

- *POST AWARD ACTIONS*
- *FEDERAL FINANCIAL REPORTS*
- *CONTINUATION APPLICATIONS*
- *CLOSEOUT OF GRANTS*

# Post Award Actions



The Grants Management Specialist and Project Officer work together to monitor the grantee's progress to assure the program is successful and that it accomplishes the mission.

# Post Award Requests

5

**Prior approval means written approval by the authorized official evidencing consent prior to a budgetary or programmatic change in the award. All prior approval requests should be made at least 30 days before action is to occur. Both the GMS & PO must approve all Post Award Requests.**

- **Standard Post Award Administrative Changes**

- ✓ Change in Project Director or Program Coordinator
- ✓ Change in Percent of Effort or Level of Work (by Key Personnel)
- ✓ Significant Change in Budget (over 25%)
- ✓ Change in Scope of Work
- ✓ Carryover of unspent funds **over 10%** require a prior approval request  
(See Terms and Conditions of Award for more details)
- ✓ No- Cost Extensions

**Requests are not considered approved until a notice of award is issued.**



# Post Award Requests Continued

6

- **Change in Key Personnel or level of Effort-**

Grantees are required to notify their Grants Management Specialist (GMS), in writing, if key personnel specifically named in the NoA will withdraw from the project entirely, be absent from the project during any continuous period of 3 months or more, or reduces time devoted to the project by 25 percent or more from the level that was approved at the time of award.

- **Change of Scope-**

When grantee proposes to change the objectives, aims, or purposes identified in the approved application. Grantees are required to obtain prior approval.

# Post Award Requests Continued

7

- **Significant Re-budgeting-**

A "significant funds reallocation" is cost modifications that exceed 25% of the approved budget. (which includes direct & indirect costs when chargeable to Federal funds for that budget period).

- **Carry-Over Requests-**

SAMHSA Grantees have two carryover options: formal carryover request and carryover authority 10% rule. Grantee must submit prior approval requests to their GMS, when submitting a formal carryover request. All requests must include a plan that describes the activity/initiative that will be performed by the grantee, a scope of work that implements the activity/initiative, justification for how the balance occurred, a detailed budget, and budget justification.

# Post Award Requests Continued

8

- Carryover authority 10% rule- this request consists of carrying over up to 10% of the total amount awarded. Grantee must specify on their annual Federal Financial Report (FFR).

- **No –Cost Extensions-**

*(Only applies to grantees in their last year of funding)*

-No Cost Extensions provide a one time extension of the end date for a final project period of a previously approved grant without additional funding for up to 12 months.

-A No cost extension must be requested within the final budget period at least 60 days before the end of the project period. *All previous terms and conditions of the award apply during the extended period.*



# Post Award Requests Continued

- Unobligated funds at the expiration of the grant is not in itself sufficient justification for an extension.
- **Reasons for a No Cost Extension Request:**
  - Additional time beyond the approved project end date is needed to ensure adequate completion of the originally approved project.
  - The extension is necessary to permit an orderly phase out of a project that will not receive continued support.

# How to Request Post Award Actions

10

- **Requests must include the following:**

- ✓ Grant number
- ✓ Grantee name and address
- ✓ Signature of authorized official of the grantee organization;
- ✓ Co-signature of business official
- ✓ Supporting documents

- **Request Letter-**

Indicate in the letter the bona-fide need of the revision; provide a detailed description of the changes within the budget and what budget categories will be affected and why.

# How to Request Post Award Actions

## Continued.

11

- **SF 424A: Budget Information Form:**  
Detail budget modification by category.
- **Budget Narrative Justification:**  
Provide a breakdown of all costs. Please note that the budget must not exceed the original authorized amount. All budgets should be in dollar amounts only. Do not include cents.
- If requesting a change in indirect cost, provide Current Indirect Cost Rate Agreement documentation.

**Notify SAMHSA as soon as such information is known.**

# How to Request Post Award Actions

## Continued.

12

- When prior approval is required, it must be requested no later than 30 days before the proposed change as specified in the Terms and Conditions of your NoA.
- Any missing component WILL delay the award action.
- Post award changes can be submitted by mail, fax, or scanned/emailed to your Grants Management Specialist. Requests are typically processed within 30 business days after receipt. Incomplete requests will delay the process procedure.
- Refer to the SAMHSA website for detailed information on submitting post award changes via mail, fax or e-mail:  
<http://www.samhsa.gov/grants/grants-management/post-award-changes>

# Federal Financial Reports

13

- The Federal Financial Report (FFR)(SF-425) is due 120 days after the budget period ends.
- Refer to your terms and conditions for specific due date.
- Send your cumulative FFR to your grants management specialist for processing.
- Please use the following link for the SF-425 (FFR) form and instructions at

[http://www.whitehouse.gov/omb/grants\\_forms](http://www.whitehouse.gov/omb/grants_forms)

# Continuation Applications

14

- An electronic letter will be sent to the Business Official in regard to their continuation application.
- Grantees must submit continuation applications via Grants.gov by due the due date.
- Project Officers and Grants Management Specialists review applications.
- Project Officers and Grants Management Specialists consult with grantees if necessary.
- Notice of Awards are sent to Business Official to via email prior to start date.



# Closeout

15

**Closeout is the final phase of the grant /project period end date.**

- The Office of Financial Advisory Service (OFAS) will send a closeout letter to DFC grantees 30 days prior to end of budget period
- The closeout letter provides detailed information on submission requirements.

**Grantees are required to submit the following:**

- Final reports- program and financial
- Reimbursements of any unexpended funds
- Accounting of property and equipment

# Glossary

16

- **Budget:** is an estimate and itemized calculation of expected expenses and/or income for a given period.
- **Four Budget Tests:** Reasonable, Allowable, Allocable and Consistent.
- **Matching:** Matching is the grantee share of the project costs and may be either “in-kind” or “cash.”
- **Indirect Costs:** costs incurred for common or joint objectives and cannot be readily identified with a particular final cost objective.
-

# Useful Websites

17

- **CADCA Coalition Institute:**

<http://www.cadca.org>

- **Federal Cash Transactions Report (formerly PSC 272):**

<http://www.dpm.psc.gov>

- **Federal Financial Report (SF 425):**

[http://www.whitehouse.gov/sites/default/files/omb/assets/grants\\_forms/SF-425.pdf](http://www.whitehouse.gov/sites/default/files/omb/assets/grants_forms/SF-425.pdf)

- **Grants Policy Statement:**

<http://www.hhs.gov/asfr/ogapa/aboutog/hhsgps107.pdf>

# Useful Websites

18

- **Office of National Drug Control Policy (ONDCP):**  
<http://www.whitehouse.gov/ondcp>
- SAMHSA's National Clearinghouse on Alcohol and Drug Information (NCADI) : <http://ncadi.samhsa.gov/>
- **SAMHSA Grants Management:**  
<http://www.samhsa.gov/grants>
- System for Award Management (SAM) <https://www.sam.gov>
- U.S. General Services Administration (GSA): [www.gsa.gov](http://www.gsa.gov)

# QUESTIONS????

19

## Grants Management Contact:

Virginia Simmons

Grants Management Officer

Division of Grants Management

Substance Abuse Mental Health Services Administrations (SAMHSA)

(240) 276-1422 Office

(240) 276-1420 Fax

[Virginia.Simmons@SAMHSA.HHS.GOV](mailto:Virginia.Simmons@SAMHSA.HHS.GOV)

**You may also contact a Grants Management Specialist  
for any grant related questions.**